

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

HÖTTEN et al.

Serial Number: 09/386,450

Filed: August 31, 1999

Group Art Unit: 1643

Examiner: Unassigned

For: NEW GROWTH/DIFFERENTIATION FACTOR OF THE TGF- $\beta$  FAMILY

**REQUEST FOR SMALL ENTITY STATUS**

Commissioner for Patents  
Washington, D.C. 20006

June 9, 2000

Sir:

Submitted herewith is a Verified Statement Claiming Small Entity Status for the above-identified application. An acknowledgment of this status is respectfully requested.

In the event any fees are required, please charge our Deposit Account No. 01-2300.

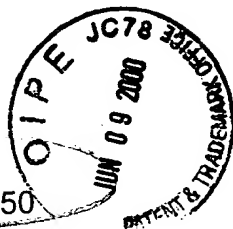
Respectfully submitted,  
ARENT FOX KINTNER PLOTKIN & KAHN, PLLC



Monica Chin Kitts  
Registration No. 36,105  
Attorney for the Applicants

Atty. Docket No. P564-9022

1050 Connecticut Avenue, N.W., Suite 600  
Washington, D.C. 20036-5339  
Tel: (202) 857-6000  
Fax: (202) 638-4810 / (202) 638-4808  
MCK/tdd



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AQJ  
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# SMALL ENTITY DECLARATION

APPLICANT OR PATENTEE HÖTTEN, et al.

SERIAL NO. 09/386,450

☐ PATENT NO. \_\_\_\_\_

ATTORNEY'S

DOCKET NO. P564-9022

☒ 1. FILED OR ISSUED August 31, 1999

☐ 2. SUBMITTED HEREWITH \_\_\_\_\_

FOR NEW GROWTH DIFFERENTIATION FACTOR OF THE TGF-BETA FAMILY

(Insert Title)

I (we) hereby declare that I (we) am (are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 U.S.C. §41(a) and (b) to the U.S. Patent and Trademark Office.

## A. INDEPENDENT INVENTOR

I (we) qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c).

## ☐ B. INDIVIDUAL NON-INVENTOR

I (we) would qualify as (an) independent inventor(s) as defined in 37 C.F.R. §1.9(c) if I had made the invention.

## ☒ C. SMALL BUSINESS CONCERN

I am ☐ THE OWNER ☒ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 C.F.R. §1.9(d) and 13 C.F.R. §121.3-18. Rights under contract or law have been conveyed to and remain with the concern and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

## ☐ D. NON-PROFIT ORGANIZATION

I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 C.F.R. §1.9(e), subsection: ☐ (1) ☐ (2) ☐ (3) ☐ (4). Rights under contract or law have been conveyed to and remain with the organization and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 C.F.R. §1.9.

I (we) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate [37 C.F.R. §1.28(b)].

I (we) declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

## A. INDEPENDENT INVENTORS(S)

## B. INDIVIDUAL NON-INVENTOR(S)

Name	Signature	Date
_____	_____	_____
_____	_____	_____
_____	_____	_____

## C. BUSINESS CONCERN

## D. NON-PROFIT ORGANIZATION

Biopharm Gesellschaft Zur Biotechnologischen  
Entwicklung Von Pharmaka mbH

Name of Concern or Organization

By Michael Paulista

Name of Person Signing

President

Title

Czernyng 22, 69115 Heidelberg

Address

Michael Paulista

Signature

24. 01. 2000

Date